



**DECLARATION FOR
UTILITY OR DESIGN
PATENT APPLICATION**

Attorney Docket No.: 96429/9085

First Named Inventor: First et al.

COMPLETE IF KNOWN

☐ Declaration Submitted with Initial Filing

☒ Declaration Submitted after Initial Filing

Application Number: 09/463,276

Filing Date:

Group Art Unit:

Examiner Name:

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

TRANS-SPECIES NUCLEAR TRANSFER

the specification of which

☐ is attached hereto

☒ was filed on as United States Application Number 60/053,103 filed July 26, 1997.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment specifically referred to above.

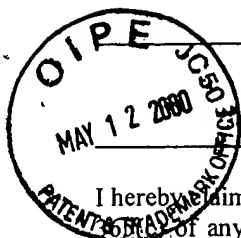
I acknowledge the duty to disclose information which is material to patentability as defined in Title 37 Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

| Prior Foreign Application Number(s) | Country | Foreign Filing Date (MM/DD/YYYY) | Priority Not Claimed | Certified Copy Attached? | |
|---|---------|--|--------------------------|-----------------------------|--------------------------|
| | | | | YES | NO |
| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below.

| Application Number(s) | Filing Date (MM/DD/YYYY) |
|-----------------------|--------------------------|
| 60/053,103 | 26 July 1997 |



DECLARATION—Utility or Design Patent Application

I hereby claim the benefit under Title 35, United States Code § 120 of any United States application(s), or § 121 of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

| U.S. Parent Application Number | PCT Parent Number | Parent Filing Date (MM/DD/YYYY) | Parent Patent Number (if applicable) |
|--------------------------------|-------------------|---------------------------------|--------------------------------------|
| | PCT/US98/15387 | July 24, 1998 | |

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

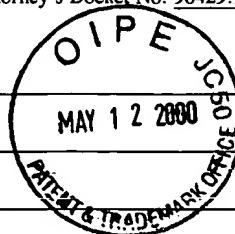
| Name | Registration Number |
|--------------------|---------------------|
| Teresa J. Welch | 33,049 |
| Grady J. Frenchick | 29,018 |
| Linda Blair Meier | 39,769 |
| Paul F. Donovan | 39,962 |
| Karen B. King | 41,898 |
| Jill A. Fahrlander | 42,518 |
| David R. Price | 31,557 |
| David B. Smith | 27,595 |

Direct all correspondence to:

Teresa J. Welch
Michael Best & Friedrich LLP
One South Pinckney Street, Suite 700
P. O. Box 1806
Madison, WI 53701-1806
United States of America
Telephone: (608) 257-3501
Fax: (608) 283-2275

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statement may jeopardize the validity of the application or any patent issued thereon.

| | | | | | | | | |
|--|-----------------|-------|----|----------|---|-------------|----|--|
| Name of Sole or First Inventor: | | | | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | | | |
| Given Name (first and middle [if any]) | | | | | Family Name or Surname | | | |
| Neal L. | | | | | First | | | |
| Inventor's Signature | | | | | Date | | | |
| Residence (City) | Mt. Horeb | State | WI | Country | US | Citizenship | US | |
| Post Office Address | 3157 Highway 78 | | | | | | | |
| Post Office Address | | | | | | | | |
| City | Mt. Horeb | State | WI | Zip Code | 53572 | Country | US | |

Applicant or Patentee: Neal L. First et al.Serial or Patent No.: via PCTFiled or Issued: 7-24-1998For: UNIVERSAL MAMMALIAN CLONING INCUBATOR VEHICLE

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) and 1.27(b)) - INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled UNIVERSAL MAMMALIAN CLONING INCUBATOR VEHICLE

described in

- ☐ the specification filed herewith.
- ☒ application serial no. via PCT, filed 7-24-1998.
- ☐ patent no. _____, issued _____.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☐ no such person, concern, or organization
- ☒ persons, concerns or organizations listed below*

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

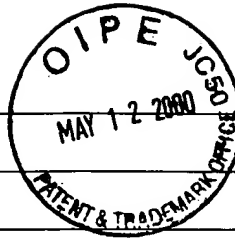
NAME: Wisconsin Alumni Research FoundationADDRESS: P.O. Box 7365, Madison, WI 53707-7365

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

NAME: _____

ADDRESS: _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION



Applicant or Patentee: Neal L. First et al.

Serial or Patent No.: via PCT

Filed or Issued: 7-24-1998

For: UNIVERSAL MAMMALIAN CLONING INCUBATOR VEHICLE

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: Wisconsin Alumni Research Foundation

ADDRESS OF ORGANIZATION: P.O. Box 7365, Madison, WI 53707-7365

TYPE OF ORGANIZATION

- ☐ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA

(NAME OF STATE _____)

(CITATION OF STATUTE _____)

- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3)) IF LOCATED IN THE UNITED STATES OF AMERICA

- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA

(NAME OF STATE _____)

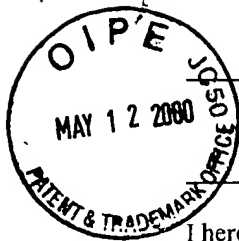
(CITATION OF STATUTE _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled UNIVERSAL MAMMALIAN CLONING INCUBATOR VEHICLE

by inventor(s) Neal L. First et al.

described in

- ☐ the specification filed herewith.
- ☒ application serial no. via PCT, filed 7-24-1998.
- ☐ patent no. _____, issued _____.



DECLARATION—Utility or Design Patent Application

I hereby claim the benefit under Title 35, United States Code § 120 of any United States application(s), or § 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

| U.S. Parent Application Number | PCT Parent Number | Parent Filing Date (MM/DD/YYYY) | Parent Patent Number (if applicable) |
|--------------------------------|-------------------|---------------------------------|--------------------------------------|
| | PCT/US98/15387 | July 24, 1998 | |

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

| Name | Registration Number |
|--------------------|---------------------|
| Teresa J. Welch | 33,049 |
| Grady J. Frenchick | 29,018 |
| Linda Blair Meier | 39,769 |
| Paul F. Donovan | 39,962 |
| Karen B. King | 41,898 |
| Jill A. Fahrlander | 42,518 |
| David R. Price | 31,557 |
| David B. Smith | 27,595 |

Direct all correspondence to:

Teresa J. Welch
Michael Best & Friedrich LLP
One South Pinckney Street, Suite 700
P. O. Box 1806
Madison, WI 53701-1806
United States of America
Telephone: (608) 257-3501
Fax: (608) 283-2275

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statement may jeopardize the validity of the application or any patent issued thereon.

| | | | | | | | |
|--|--------------------|-------|----|----------|---|----------------------|----|
| Name of Sole or First Inventor: | | | | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | | |
| Given Name (first and middle [if any]) | | | | | Family Name or Surname | | |
| 1 - 00 Neal L. | | | | | First | | |
| Inventor's Signature | Neal L. Horeb | | | | Date | 5/2/00 Neal L. Horeb | |
| Residence (City) | Mt. Horeb | State | WI | Country | US | Citizenship | US |
| Post Office Address | 3157 Highway 78 WL | | | | | | |
| Post Office Address | | | | | | | |
| City | Mt. Horeb | State | WI | Zip Code | 53572 | Country | US |

DECLARATION

MAY 12 2000

Additional Inventor(s)
Supplemental Sheet
Page 1 of 1

Name of Additional Joint Inventor:

☐ A petition has been filed for this unsigned inventor

| | | | | | | | |
|--|--|-----------------------|--|------------------------|--|-----------|--|
| Given Name (first and middle [if any]) | | | | Family Name or Surname | | | |
| Tanja | | | | Dominko | | | |
| Inventor's Signature | | T.D. 4/29/2000 | | Date | | 4/29/2000 | |
| Residence (City) | | BEAVERTON Oregon | | State | | OR WI | |
| Post Office Address | | 2320 White Oak Trail | | Country | | US | |
| Post Office Address | | 16170 SW BURNWOOD WAY | | Citizenship | | SL | |
| City | | BEAVERTON | | Zip Code | | 97007 | |
| State | | OR | | Country | | US | |

Name of Additional Joint Inventor:

☐ A petition has been filed for this unsigned inventor

| | | | | | | | |
|--|--|---------------------------|--|------------------------|--|-------|--|
| Given Name (first and middle [if any]) | | | | Family Name or Surname | | | |
| Maissam | | | | Mitalipous | | | |
| Inventor's Signature | | | | Date | | | |
| Residence (City) | | Madison | | State | | WI | |
| Post Office Address | | 2130 University Avenue #6 | | Country | | US | |
| Post Office Address | | | | Citizenship | | US | |
| City | | Madison | | Zip Code | | 53705 | |
| State | | WI | | Country | | US | |

Name of Additional Joint Inventor:

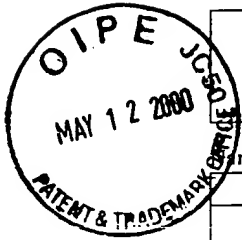
☐ A petition has been filed for this unsigned inventor

| | | | | | | | |
|--|--|--|--|------------------------|--|--|--|
| Given Name (first and middle [if any]) | | | | Family Name or Surname | | | |
| | | | | | | | |
| Inventor's Signature | | | | Date | | | |
| Residence (City) | | | | State | | | |
| Post Office Address | | | | Country | | | |
| Post Office Address | | | | Citizenship | | | |
| City | | | | Zip Code | | | |
| State | | | | Country | | | |

Name of Additional Joint Inventor:

☐ A petition has been filed for this unsigned inventor

| | | | | | | | |
|--|--|--|--|------------------------|--|--|--|
| Given Name (first and middle [if any]) | | | | Family Name or Surname | | | |
| | | | | | | | |
| Inventor's Signature | | | | Date | | | |
| Residence (City) | | | | State | | | |
| Post Office Address | | | | Country | | | |
| Post Office Address | | | | Citizenship | | | |
| City | | | | Zip Code | | | |
| State | | | | Country | | | |



DECLARATION

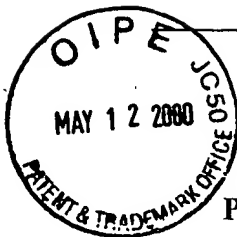
Additional Inventor(s)
Supplemental Sheet
Page 1 of 1

| | | | | | | | |
|--|----------------------|-------|----|----------|---|-------------|----|
| Name of Additional Joint Inventor: | | | | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | | |
| Given Name (first and middle [if any]) | | | | | Family Name or Surname | | |
| Tanja | | | | | Dominko | | |
| Inventor's Signature | | | | | Date | | |
| Residence (City) | Oregon | State | WI | Country | US | Citizenship | SL |
| Post Office Address | 2320 White Oak Trail | | | | | | |
| Post Office Address | | | | | | | |
| City | Oregon | State | WI | Zip Code | 53575 | Country | US |

| | | | | | | | |
|--|---------------------------|-------|----|----------|---|---------------------------|----|
| Name of Additional Joint Inventor: | | | | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | | |
| Given Name (first and middle [if any]) | | | | | Family Name or Surname | | |
| Maissam | | | | | VA Mitalipova | | |
| Inventor's Signature | <i>[Signature]</i> 5/8/00 | | | | Date | <i>[Signature]</i> 5/8/00 | |
| Residence (City) | Madison | State | WI | Country | US | Citizenship | US |
| Post Office Address | 2130 University Avenue #6 | | | | | | |
| Post Office Address | | | | | | | |
| City | Madison | State | WI | Zip Code | 53705 | Country | US |

| | | | | | | | |
|--|--|-------|--|----------|---|-------------|--|
| Name of Additional Joint Inventor: | | | | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | | |
| Given Name (first and middle [if any]) | | | | | Family Name or Surname | | |
| | | | | | | | |
| Inventor's Signature | | | | | Date | | |
| Residence (City) | | State | | Country | | Citizenship | |
| Post Office Address | | | | | | | |
| Post Office Address | | | | | | | |
| City | | State | | Zip Code | | Country | |

| | | | | | | | |
|--|--|-------|--|----------|---|-------------|--|
| Name of Additional Joint Inventor: | | | | | <input type="checkbox"/> A petition has been filed for this unsigned inventor | | |
| Given Name (first and middle [if any]) | | | | | Family Name or Surname | | |
| | | | | | | | |
| Inventor's Signature | | | | | Date | | |
| Residence (City) | | State | | Country | | Citizenship | |
| Post Office Address | | | | | | | |
| Post Office Address | | | | | | | |
| City | | State | | Zip Code | | Country | |



**DECLARATION FOR
UTILITY OR DESIGN
PATENT APPLICATION**

Attorney Docket No.: 96429/9085

First Named Inventor: First et al.

COMPLETE IF KNOWN

- ☐ Declaration Submitted with Initial Filing
☒ Declaration Submitted after Initial Filing

Application Number: 09/463,276
Filing Date:
Group Art Unit:
Examiner Name:

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

TRANS-SPECIES NUCLEAR TRANSFER

the specification of which

- ☐ is attached hereto
☒ was filed on as United States Application Number 60/053,103 filed July 26, 1997.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37 Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

| Prior Foreign Application Number(s) | Country | Foreign Filing Date (MM/DD/YYYY) | Priority Not Claimed | Certified Copy Attached? | |
|---|---------|--|--------------------------|-----------------------------|--------------------------|
| | | | | YES | NO |
| | | | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

I hereby claim the benefit under Title 35, United States Code § 119(e) of any United States provisional application(s) listed below.

| Application Number(s) | Filing Date (MM/DD/YYYY) |
|-----------------------|--------------------------|
| 60/053,103 | 26 July 1997 |

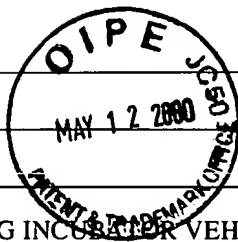


Applicant or Patentee: Neal L. First et al.

Serial or Patent No.: via PCT

Filed or Issued: 7-24-1998

For: UNIVERSAL MAMMALIAN CLONING INCUBATOR VEHICLE



**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) and 1.27(b)) - INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled UNIVERSAL MAMMALIAN CLONING INCUBATOR VEHICLE

described in

- ☐ the specification filed herewith.
- ☒ application serial no. via PCT, filed 7-24-1998.
- ☐ patent no. _____, issued _____.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☐ no such person, concern, or organization
- ☒ persons, concerns or organizations listed below*

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME: Wisconsin Alumni Research Foundation

ADDRESS: P.O. Box 7365, Madison, WI 53707-7365

- ☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☒ NONPROFIT ORGANIZATION

NAME: _____

ADDRESS: _____

- ☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Neal L. First

Name of inventor

Signature of inventor

Date

Tanja Dominko

Name of inventor

Signature of inventor

Date 04/29/2000

Maissam Mitalipova

Name of inventor

Signature of inventor

Date

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Neal L. First

Name of inventor

Neal L. First
Signature of inventor

Date 5-2-00

Tanja Dominko

Name of inventor

Signature of inventor

Date _____

Maissam Mitalipova

Name of inventor

Maissam Mitalipova

5/8/00

Signature of inventor

Date _____

I hereby declare that rights of contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

NAME: _____

ADDRESS: _____

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

NAME: _____

ADDRESS: _____

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Bryan Z. Renk

TITLE IN ORGANIZATION Director of Patents and Licensing

ADDRESS OF PERSON SIGNING Wisconsin Alumni Research Foundation

P.O. Box 7365, Madison, WI 53707-7365

SIGNATURE Bryan Z. Renk Date 5/1/00